

CHAPTER: 100  
Agency Administration/Management

DEPARTMENT ORDER:  
113 – Institution Management and  
Organizational Structure

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# Arizona Department of Corrections Rehabilitation and Reentry



Department Order Manual

A handwritten signature in black ink, appearing to be "David Shinn", written over a horizontal line.

David Shinn, Director

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## **EXPECTED PRACTICES**

American Correctional Association (ACA) Expected Practices: 5-ACI-1A-03, 5-ACI-1A-07, 5-ACI-1A-11, and 5-ACI-1B-01

## **PURPOSE**

This Department Order establishes an organizational chain of command and management structure for Department institutions and Department staff assigned to private prisons and guidelines authorizing Wardens to exercise functional supervision and authority over support staff assigned to the institution from other organizational units other than Prison Operations.

## **APPLICABILITY**

Private prison employees shall follow the chain of command established by the terms of the contract between the Department and the private prison contractors.

## **RESPONSIBILITY**

Each support function is charged with providing a specific service. The primary responsibility of each support function is to provide their services in accordance with the standards of their discipline without jeopardizing the general welfare of the inmate.

## **PROCEDURES**

### **1.0 INSTITUTION CHAIN OF COMMAND/ORGANIZATIONAL STRUCTURE**

- 1.1 Wardens shall be responsible for the:
  - 1.1.1 Operations of the institution to which they are assigned, including the overall management of the institution and its inmates, personnel, volunteers, programs and activities, and administrative functions. {5-ACI-1A-07}
  - 1.1.2 Management of the support staff resources necessary to maintain security.
  - 1.1.3 Oversight of day-to-day operations and emergencies that arise at the facility.
  - 1.1.4 Implementation of Department Orders and other written instruction issued by the Director.
  - 1.1.5 Policy, management, and control of fiscal matters for the institution. Management of fiscal operations may be delegated to a designated staff person. {5-ACI-1B-01}
  - 1.1.6 Formulation/update of the institution's goals, and translate the goals into measurable objectives annually. {5-ACI-1A-03}
- 1.2 Wardens shall report to the designated Regional Operations Director.
- 1.3 Deputy Wardens shall be responsible for the management of the units within an institution.
- 1.4 All employees assigned to a Department institution shall be administratively responsible to the Warden or Deputy Warden in accordance with the organizational chain of command in that institution and of the Department.

- 1.5 The Department shall assign staff to monitor and oversee a private prison's operations in accordance with applicable written instructions. The chain of command for these staff shall be established by the designated Regional Operations Director.

## **2.0 WARDEN'S SUPERVISION OF SUPPORT STAFF FROM OTHER AREAS**

- 2.1 Support staff members are assigned to an institution for the purpose of assisting the Warden in fulfilling the Department's and the institution's mission of housing and caring for inmates committed to the Department. All employees assigned to work at an institution are part of the institution's team and shall ensure their work activities support the mission of the institution.
  - 2.1.1 The duties, responsibilities, roles, and functions of personnel employed by other public or private agencies specific to their relationship to the authority and responsibility of the Warden will be defined in a contract or other type of agreement. {5-ACI-1A-11}
- 2.2 The Warden shall:
  - 2.2.1 Conduct regular meetings with the managers of line and support staff to develop and communicate the institution's mission, goals and objectives and to share important information.
  - 2.2.2 Review, with support staff managers, any authorized written instructions developed in the support areas.
  - 2.2.3 Provide support staff managers with input on the job performance of support staff, which shall be used in completing Employee Performance Evaluations.
  - 2.2.4 Forward information to the first-line supervisor of the offending support staff employee regarding infractions of Department Orders along with recommendations for the appropriate disciplinary action to be taken.
  - 2.2.5 Ensure all staff comply with duty schedules and the Department's written instructions, including work hours and leave.
  - 2.2.6 Ensure support staff who work directly with inmates receive training on security issues.
- 2.3 The Warden may require support staff to complete special assignments and alter their day-to-day operations in the interest of the institution's safety and security.
- 2.4 The Warden shall:
  - 2.4.1 Not direct support staff in the performance of their technical or professional job duties (i.e., the provision of health care by medical staff, the development of training curricula by the Staff Development and Training Bureau, or the investigating and report writing of Investigations staff, although the Warden shall be kept informed of investigations and their progress).
  - 2.4.2 Consistent with the limitation of 2.3 of this section for support staff assigned to an institution:
    - 2.4.2.1 Provide guidance for carrying out their required duties and responsibilities.

2.4.2.2 Direct their activities:

2.4.2.2.1 Whenever the safe and orderly operation of the institution is a consideration.

2.4.2.2.2 To comply with Department Orders or State laws for meeting the mandatory needs of the inmate population.

2.5 In an emergency, support staff assigned to an institution shall take orders from the Warden or Incident Commander in all areas except the technical or professional areas of their jobs.

2.6 When the Warden believes a situation requires immediate action and determines it is necessary to direct the activities of support staff in a manner that may be contrary to prior instruction from their first-line supervisor, the support staff employee shall follow the Warden's direction, and the Warden shall advise the employee's Department Administrator thereafter.

2.7 When a staff member observes a support function being provided in a manner that jeopardizes the general welfare of an inmate, the staff member shall take immediate action to rectify the situation.

2.7.1 If the observing staff member lacks the authority to correct the situation, the staff member shall use the chain of command to notify a staff member with authority to immediately correct the situation.

2.8 Support staff that knowingly violates this Department Order shall be disciplined in accordance with Department Order #601, Administrative Investigations and Employee Discipline.

2.9 When there is a disagreement not requiring immediate action, the Warden and the appropriate Assistant Director shall resolve the issue. Issues that cannot be resolved at this level shall be elevated to the respective Deputy Director.

### 3.0 SUPPORT STAFF MANAGER'S OBLIGATIONS AND RESPONSIBILITIES

3.1 Support staff managers shall:

3.1.1 Be responsible for ensuring staff activities are consistent with the Warden's efforts to comply with written instructions, the effective operation of the prison, and the institution's objectives and procedures.

3.1.2 Serve on the management team of the institution and actively participate in the establishment of the institution's goals and program development.

3.1.3 Promptly consult with the Warden about all changes in written instructions that would impact the institution's operation.

3.1.4 Request input from the Warden on the job performance of support staff to use in completing Employee Performance Evaluations.

3.1.5 Contact the Warden after reviewing the information surrounding misconduct infractions by support staff and, when applicable, discuss the recommended disciplinary action.

- 3.1.6 Ensure work schedules meet the institution's needs as defined by the Warden.
- 3.1.7 Develop a leave approval process, with the Warden, to ensure support staff's scheduled leave will not adversely affect the institution's operations.
- 3.1.8 Communicate with the Warden when selecting and hiring support staff and making support staff assignments.
- 3.1.9 Provide the Warden with copies of correspondence on issues relating to prison operations or staffing, which may impact the operation of the institution.
- 3.2 The Assistant Directors, Wardens, or Bureau Administrators, as the Business Administrator's first-line supervisor, shall:
  - 3.2.1 Direct and evaluate the Business Administrator's performance of daily operational duties and tasks.
  - 3.2.2 Be the rater for the Employee Performance Evaluation, and include comments from the Department's Chief Financial Officer on applicable performance documentation.
- 3.3 The Chief Financial Officer, on behalf of Financial Services, shall:
  - 3.3.1 Issue Technical Manual instructions that address the requirements of the Business Administrator's fiscal responsibilities.
  - 3.3.2 Monitor and evaluate the Business Administrator's compliance with the Department's written instructions.
  - 3.3.3 Forward comments regarding the Business Administrator's technical performance to the operational authority for inclusion on applicable performance documentation.
  - 3.3.4 The appointment of Business Administrators shall be conducted in accordance with Department Order #504, Recruitment and Hiring.
    - 3.3.4.1 When hiring a Business Administrator, the first-line supervisor and the Chief Financial Officer shall jointly develop the oral board questions to be used in the hiring process.
    - 3.3.4.2 The first-line supervisor shall select the Oral Board Panel Members and appoint the Business Administrator from the final applicants recommended by the Oral Board Panel members.

## **DEFINITIONS/GLOSSARY**

Refer to the Glossary of Terms for the following:

- Support Staff
- Support Staff Manager

## **AUTHORITY**

A.R.S. §41-1611, Number of Divisions or Units